



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Coombs, et al.

Appl. No. : 10/792,291

Filed : March 2, 2004

For : METHODS AND APPARATUS

FOR USE IN DETECTION AND QUANTIFICATION OF VARIOUS CELL TYPES AND USE OF OPTICAL BIO-DISK FOR

PERFORMING SAME

Examiner : Unknown

Group Art Unit : 1645

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first-class mail in an envelope addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

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PETITION TO FILE DECLARATIONS ON BEHALF OF NONSIGNING INVENTORS WHO REFUSE TO SIGN OR CANNOT BE REACHED UNDER 37 CFR 1.47(A)

Mail Stop Missing Parts Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

Dear Sir:

In response to the Notice to File Missing Parts mailed May 25, 2004, Applicants hereby petition under the provisions of 37 C.F.R. § 1.47(a), that the Commissioner accept for filing and examine the above-identified patent application despite the fact that two of the four joint inventors named in this application have not executed an oath or declaration. Applicants have been unable to secure declarations of inventorship from the nonsigning inventors despite diligent efforts and numerous requests on behalf of the inventors who have executed declarations. In support for this petition, Applicants provide the following:

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Appl. No. : 10/792,291 Filed : March 2, 2004

DECLARATION OF INVENTORSHIP

A Declaration of Inventorship, attached herewith, was executed by two of the four inventors, James Howard Coombs and Brigitte Chau Phan, on behalf of themselves and on behalf of the omitted inventors, John Francis Gordon and Joseph Roby I. Urcia, who have not signed the declaration of inventorship despite diligent efforts and numerous requests on behalf of the signing inventors. This partially executed Declaration satisfies the requirement that all available joint inventors must (i) execute an oath or declaration on their own behalf as required by 37 C.F.R. § 1.63 and (ii) execute an oath or declaration on behalf of the nonsigning joint inventor as required by 37 C.F.R. § 1.64, and in accordance with MPEP § 409.03(a) "an oath or declaration signed by all the available joint inventors with the signature block of the non-signing joint inventor(s) left blank may be treated as having been signed by all the available joint inventors on behalf of the non-signing inventor(s), unless otherwise indicated."

STATEMENTS OF FACTS

Applicant provides the following declaration, attached herewith, in support of its conclusion that nonsigning inventors refuse to sign and/or cannot be reached:

Declaration of Russell Jeide in Support of Petition To File Declaration On Behalf
Of Nonsigning Inventors Who Refuse to Sign or Cannot Be Reached Under 37
CFR 1.47(a).

The Declaration shows the efforts of Applicants to contact the nonsigning inventors by email, telephone, and U.S. Mail to obtain their cooperation.

LAST KNOWN ADDRESS OF THE NONSIGNING INVENTORS

The last known address of John Francis Gordon is: 20 New Jersey, Irvine, CA 92606. Mr. Gordon is a citizen of the United Kingdom.

The last known address for Joseph Roby I. Urcia is: 8511 Marion Ave., Westminster, CA 92683. Mr. Urcia is a United States citizen.

CONCLUSION

Based on the foregoing, it is submitted that diligent efforts has been made to obtain a signature for the Declaration of Inventorship from both John Francis Gordon and Joseph Roby I.

Appl. No.

10/792,291

Filed

March 2, 2004

Urcia. Despite these diligent efforts, Applicants have not been able to obtain a declaration from either Mr. Gordon or Urcia. Applicants submit that the remaining joint inventors, James Howard Coombs and Brigitte Chau Phan, make the application for patent on behalf of themselves and on behalf of the omitted inventors, John Francis Gordon and Joseph Roby I. Urcia, in accordance with 37 C.F.R. § 1.47 (a). Furthermore, Applicants respectfully submit that the Declaration of Inventorship executed by two of the four named inventors satisfies the requirement that all available joint inventors (i) make oath or declaration on their own behalf as required by 37 C.F.R. § 1.63 and (ii) make oath or declaration on behalf of the nonsigning joint inventor(s) as required by 37 C.F.R. § 1.64.

Applicants respectfully request that this petition under 37 C.F.R. §1.47(a) be granted and that the Applicants be allowed to file and prosecute the above-identified patent application without the signature of Mr. Gordon or Urcia. If there are any obstacles to a prompt approval of this petition, the Patent and Trademark Office is invited to call the undersigned attorney.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: $\frac{10}{22} \frac{10}{22} \frac{10}{22}$

By:

Registration No. 54,198

Attorney of Record

Customer No. 20,995

(619) 235-8550

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DECLARATION IN SUPPORT OF PETITION TO FILE DECLARATION ON BEHALF OF NONSIGNING INVENTORS WHO REFUSE TO SIGN OR CANNOT BE REACHED UNDER 37 CFR 1.47(A)

I, Russell M. Jeide, hereby declare that, to the best of my knowledge, information, and belief, the following is true, accurate, and correct:

- 1) I am an associate attorney at Knobbe, Martens, Olson & Bear, LLP ("KMOB") and help coordinate prosecution of patent matters assigned to our client, Nagaoka and Co., LTD ("Nagaoka").
- 2) On November 4, 2003, Burstein Technologies, Inc. ("BTI") sold an undivided partial ownership interest in all intellectual property matters to Nagaoka. Prior to November 4, 2003, BTI terminated all employees.
- 3) On March 2, 2004, a patent application was filed on behalf of Nagaoka, titled "Methods and Apparatus for Use in Detection and Quantification of Various Cell Types and Use of Optical Bio-Disc for Performing Same." This application claims priority to a provisional application that was subject to the November 4, 2003 assignment from BTI to Nagaoka. Accordingly, the listed inventors were previous employees of BTI.
- 4) This application was assigned Application Number 10/792,291 ("the '291 application") by the U.S. Patent and Trademark Office, and claims priority to U.S. provisional application number 60/451,587, filed on March 3, 2003.
- 5) On or about May 25, 2004 the U.S. Patent and Trademark Office mailed a Notice To File Missing Parts Of Nonprovisional Application, indicating that the filing fee and an Oath or Declaration were missing from the original application filing. The missing parts notice set a two month initial deadline for submitting the missing declaration and filing fee. Thus, the initial deadline for filing these documents was July 25, 2004.
- 6) After filing the application, I attempted to contact each of the inventors to secure their signatures on a declaration for the '291 application. I did receive executed declarations from two of the four listed inventors, James Howard Coombs and Brigitte Chau Phan. As outlined below, however, despite diligent efforts I was unable to secure executed declarations from John Francis Gordon and Joseph Roby I. Urcia.

Diligent Efforts Attempting to Secure a Declaration of Inventorship from Mr. Gordon

- 7) On or about April 19, 2004 I placed a telephone call to Mr. Gordon and left a message on his answering machine in order to confirm his address information, notify him that the '291 application had been filed, and request his review of the application and execution of a declaration of inventorship. I did not receive a return call from Mr. Gordon.
- 8) On or about June 16, 2004, I placed a subsequent telephone call to Mr. Gordon. This time I was able to speak to Mr. Gordon, who informed me that he may be inclined to sign the declaration of inventorship because he liked the Director and General Manager of Nagaoka, Mr. Ryosuke Nagaoka, but that he thought his former employer Richard Burstein, the cofounder and CEO of BTI, should "jump in a lake." Mr. Gordon stated that he would call Mr. Nagaoka to discuss the status of the '291 application.

- 9) On or about June 16, 2004, I sent an email to Mr. Gordon. Attached to that email was a copy of the '291 application and a declaration of inventorship for the '291 application. I indicated in the email that Mr. Gordon's signature is needed on the declaration to complete the '291 application and that he should sign and date these documents and return them to me. I did not receive a response from Mr. Gordon.
- 10) On or about July 8, 2004, I again emailed Mr. Gordon notifying him that the July 25, 2004, deadline for submitting the declaration of inventorship was approaching and that his cooperation would be greatly appreciated. I did not receive a response from Mr. Gordon.
- 11) On or about August 16, 2004, I prepared and sent a letter to Mr. Gordon, including a copy of the '291 application and a corresponding declaration of inventorship for Mr. Gordon's signature. The letter was sent via U.S. Certified Mail, and a return receipt indicates that the letter was delivered on August 30, 2004. However, I received no response from Mr. Gordon. A copy of the return receipt signed by "John Gordon" is attached hereto as Exhibit A.
- 12) On or about August 25, 2004, I placed another telephone call to Mr. Gordon and left a message on his answering machine asking him to complete the declaration of inventorship. I did not receive a return call from Mr. Gordon.
- 13) On or about September 9, 2004, I sent another email to Mr. Gordon asking him whether he intended to complete the declaration of inventorship that was both mailed and emailed to him previously. I did not receive a response from Mr. Gordon.

Diligent Efforts Attempting to Secure a Declaration of Inventorship from Mr. Urcia

- 14) On or about June 16, 2004, I placed a telephone call to Mr. Urcia in order to confirm his address information, notify him that the '291 application had been filed, and request his review of the application and execution of a declaration or inventorship. A woman who answered said Mr. Urcia was not home and she hung up on me. I did not receive a response from Mr. Urcia.
- 15) On or about June 21, 2004, I prepared and sent a letter to Mr. Urcia, including a copy of the '291 application and a corresponding declaration of inventorship for Mr. Urcia's signature. The letter was sent via U.S. Certified Mail, and a return receipt indicates that the letter was delivered on July 16, 2004. However, I received no response from Mr. Urcia. A copy of the return receipt signed by "Joseph I. Urcia" is attached hereto as Exhibit B.
- 16) On or about July 8, 2004, I placed another telephone call to Mr. Urcia. A child answered the phone and said Mr. Urcia was at work until 8:00 P.M. and that he does not have the number to reach Mr. Urcia at work. I did not receive a response from Mr. Urcia.
- 17) On or about July 14, 2004, I placed another telephone call to Mr. Urcia. A woman answered the telephone and, after I introduced myself, she hung up the phone. I immediately called back and a person claiming to be a visitor of Mr. Urcia stated that Mr. Urcia was at work and that he did not know where he worked or how to get in contact with him. I did not receive a response from Mr. Urcia.
- 18) On or about July 14, 2004, I prepared and sent a letter to Mr. Urcia, including a copy of the '291 application and a corresponding declaration of inventorship for Mr. Urcia's signature. The letter stated that Mr. Urcia's signature is needed on the declaration to complete the '291 application and that he should sign and date these documents and return them to me. The

letter was sent via U.S. Certified Mail, and a return receipt indicates that the letter was delivered on July 16, 2004. However, I received no response from Mr. Urcia. A copy of the return receipt is attached hereto as Exhibit B.

19) On or about October 19, 2004, I received the results of a skip trace that was performed by KMOB's in-house researchers. These results located the same address and phone number for Mr. Urcia that I had previously used in attempting to contact Mr. Urcia.

Signature:

Date:

(Kussell M. Jeide)

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 Print your name and address on the reverse so that we can return the card to you.
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Knobbe Martens Olson & Bear LLP

Intellectual Property Law



550 West C Street Suite 1200 San Diego CA 92101 Tel 619-235-8550 Fax 619-235-0176 www.kmob.com

Russell M. Jeide rjeide@kmob.com



August 16, 2004

VIA CERTIFIED MAIL - RETURN RECEIPT

Mr. John F. Gordon 20 New Jersey Irvine, CA 92606

Re:

U.S. Patent Application

Title: METHODS AND APPARATUS FOR USE IN DETECTION AND

QUANTITATION OF VARIOUS CELL TYPES AND USE OF OPTICAL BIO-

DISC FOR PERFORMING SAME

Application No.: 10/792,291 - Filed: March 2, 2004

Our Reference No.: NAGACO.074A

Dear John:

This letter is a follow-up to my e-mails of June 16 and July 8, 2004, and our several phone conversations regarding Nagaoka patent matters.

As you are aware, you are listed as an inventor on a provisional application title, "METHODS AND APPARATUS FOR USE IN DETECTION AND QUANTITATION OF VARIOUS CELL TYPES AND USE OF OPTICAL BIO-DISC FOR PERFORMING SAME," which was filed in the U.S. Patent Office on March 3, 2003. In order to maintain a priority claim to this provisional application, we have filed a corresponding non-provisional application on March 2, 2004. Attached are the specification and figures for the patent application that was filed on March 2, 2004, which may be referenced using our docket no. NAGACO.074A.

In order to complete the filing of the above-listed application, we are required to submit certain formal documents to the U.S. Patent Office, each requiring your signature. These documents include (1) a declaration indicating that you are an inventor of the specific invention embodied in the attached specification and figures and (2) an assignment that transfers all rights in this application to BTI. Please note that, while notarization of the assignment is preferred, it is not required. If a notary is easily accessible, we will gladly reimburse you for their fee.

Knobbe Martens Olson & Bear LLP

Mr. John F. Gordon August 16, 2004 Page 2 of 2

Please review the attached declaration and assignment to ensure that they are accurate. You may then execute each document and return to me via (FAX: 619-235-0176), email (such as in a scanned PDF file), or U.S. Mail. We look forward to receiving the completed documents discussed above. If you have any questions, please contact me.

Best regards,

Russell M. Jeide

Enclosures Certified Mail No. 7004 0750 0002 8442 8319

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PATENT Client Code: NAGACO.074A

Page 1

Application No.: 10/792,291 Filing Date: March 2, 2004

ASSIGNMENT

WHEREAS, We, James H. Coombs, a citizen of U.K., residing at 175 San Leon Villa, Irvine, CA 92606, John F. Gordon, a citizen of U.K., residing at 20 New Jersey, Irvine, CA 92606, Brigitte C. Phan, a citizen of U.S.A., residing at 171 Stonecliffe Aisle, Irvine, CA 92612, and Joseph R. I. Urcia, a citizen of U.S.A., residing at 8511 Marian Avenue, Westminster, CA 92683, have invented certain new and useful improvements in METHODS AND APPARATUS FOR USE IN DETECTION AND QUANTITATION OF VARIOUS CELL TYPES AND USE OF OPTICAL BIO-DISC FOR PERFORMING SAME for which we have filed an application for Letters Patent in the United States, Application No. 10/792,291, filed on March 2, 2004;

AND WHEREAS, BURSTEIN TECHNOLOGIES, INC. (hereinafter "ASSIGNEE"), a Delaware Corporation, with its principal place of business at 163 Technology Drive, Suite 200, Irvine, CA 92618, desires to acquire the entire right, title, and interest in and to the said improvements and the said Application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, the entire right, title, and interest throughout the world in, to and under the said improvements, and the said application and all provisional applications relating thereto, and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE DO HEREBY sell, assign, transfer, and convey to ASSIGNEE, his successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of the said Letters Patent before or after issuance.

AND WE HEREBY covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMON	Y WHEREOF, I hereunto set m	y hand and seal this da	y of	, 20
		James H. Coombs		· · · · · · · · · · · · · · · · · · ·
STATE OF) } ss.			
COUNTY OF	j			
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[SEAL]				

Notary Signature

PATENT

Client Code: NAGACO.074A Page 2

Application No.: 10/792,291 Filing Date: March 2, 2004

IN TESTIMON	IY WHEREOF, I hereunto se	t my hand and seal this day of, 20
		•
		John F. Gordon
STATE OF) } ss.	
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within instrument, and a	cknowledged to me that he e	Cactory evidence) to be the person(s) whose name(s) is/are subscribed to the xecuted the same in her authorized capacity(ies), and that by his signature(stalf of which the person(s) acted, executed the instrument.
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IN TESTIMON	VY WHEREOF, I hereunto se	t my hand and seal this day of, 20
		Brigitte C. Phan
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known to me (or proved within instrument, and a	d to me on the basis of satisficknowledged to me that she	, personally appeared Brigitte C. Phan personall factory evidence) to be the person(s) whose name(s) is/are subscribed to the executed the same in her authorized capacity(ies), and that by her signature(smalf of which the person(s) acted, executed the instrument.
WITNESS my	hand and official seal.	
[SEAL]		
		Notary Signature



DECLARATION - USA PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated below next to my name;

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled METHODS AND APPARATUS FOR USE IN DETECTION AND QUANTITATION OF VARIOUS CELL TYPES AND USE OF OPTICAL BIO-DISC FOR PERFORMING SAME; the specification of which was filed on March 2, 2004, as Application Serial No. 10/792,291.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above;

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56;

I hereby claim the benefit under Title 35, United States Codes § 119(e) of the United States provisional application listed below:

Application No.: 60/451587

Filing Date: March 3, 2003

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful, false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor: James H. Coombs	
Inventor's signature	
Date	_
Residence: 175 San Leon Villa, Irvine, CA 92606	
Citizenship: U.K.	

Mailing Address: Same

Full name of second inventor: John F. Gordon
Inventor's signature
Date
Residence: 20 New Jersey, Irvine, CA 92606
Citizenship: U.K.
Mailing Address: Same
Full name of third inventor: Brigitte C. Phan
Inventor's signature
Date
Residence: 171 Stonecliffe Aisle, Irvine, CA 92612
Citizenship: U.S.A.

Mailing Address: Same



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SENDER: COMPLETE THIS SECTION	COMPLETE THIS SECTION ON DELIVERY
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Intellectual Property Law



550 West C Street Suite 1200 San Diego CA 92101 Tel 619-235-8550 Fax 619-235-0176 www.kmob.com

Russell M. Jeide rjeide@kmob.com



June 21, 2004

Joseph R. I. Urcia 8511 Marion Avenue Westminster, CA 92683 FILE COPY

Re:

U.S. Patent Application

Title: METHODS AND APPARATUS FOR USE IN DETECTION AND

QUANTITATION OF VARIOUS CELL TYPES AND USE OF OPTICAL BIO-

DISC FOR PERFORMING SAME

Application No.: 10/792,291 - Filed: March 2, 2004

Our Reference No.: NAGACO.074A

Dear Mr. Urcia:

As you know, Nagaoka and Co., LTD is a partial owner of all intellectual property (including unfiled and pending patent applications, as well as issued patents) that were previously owned exclusively by Burstein Technologies, Inc. ("BTI"). As partial owner, Nagaoka is handling filing of new patent applications and maintaining those pending application. Our firm, Knobbe, Martens, Olson & Bear, LLP, has been retained by Nagaoka to handle these matters on their behalf.

You are listed as an inventor on a provisional application title, "METHODS AND APPARATUS FOR USE IN DETECTION AND QUANTITATION OF VARIOUS CELL TYPES AND USE OF OPTICAL BIO-DISC FOR PERFORMING SAME," which was filed in the U.S. Patent Office on March 3, 2003. In order to maintain a priority claim to this provisional application, we have filed a corresponding non-provisional application on March 2, 2004. Attached are the specification and figures for the patent application that was filed on March 2, 2004, which may be referenced using our docket no. NAGACO.074A.

In order to complete the filing of the above-listed application, we are required to submit certain formal documents to the U.S. Patent Office, each requiring your signature. These documents include (1) a declaration indicating that you are an inventor of the specific invention embodied in the attached specification and figures and (2) an assignment that transfers all rights in this application to BTI. Please note that, while notarization of the assignment is preferred, it is not required. If a notary is easily accessible, we will gladly reimburse you for their fee.





Please review the attached declaration and assignment to ensure that they are accurate. You may then execute each document and return to me via (FAX: 619-235-0176), email (such as in a scanned PDF file), or U.S. Mail. We look forward to receiving the completed documents discussed above. If you have any questions, please contact me.

Best regards,

Russell M. Jeide

Enclosures:

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